

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

10/088376

ATTORNEY DOCKET NUMBER  
**IN-5562**

U.S. APPLICATION NO (IF KNOWN SEE 37 RR 15)

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

**PCT/EP00/08503**

**31 August 2000 (31.08.2000)**

**23 September 1999 (23.09.1999)**

**TITLE OF INVENTION: USE OF ASSOCIATIVE THICKENERS BASED ON POLYURETHANE AND/OR  
DIPROPYLENE GLYCOL MONOALKYL ETHERS IN COLOURED AND/OR DECORATIVE EFFECT  
MULTI-LAYERED LACQUERS**

**APPLICATION(S) FOR DO/EO/US: Ines MANGELS, Karl-Heinz JOSTEN, Udo NENNER, Egon WEGNER,  
Ekkehard SAPPER and Nicola ZARSE**

**Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:**

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ have been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C.371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

**A copy of the cover sheet from the PCT Published Application  
A copy of the cover sheet from the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **ET973 679 288US** addressed to the Commissioner for Patents, Washington, DC 20231 on March 11, 2002.

*Marjorie E. Ellis*  
Marjorie Ellis

U.S. APPLICATION NO. (If known set 37 CFR 1.53) <b>10/088376</b> INTERNATIONAL APPLICATION NO. <b>PCT/EP00/08503</b>		ATTORNEY'S DOCKET NUMBER <b>IN-5562</b>	
17. <input checked="" type="checkbox"/> The following fees are submitted <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$970.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$890.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... <b>\$690.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$670.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$ 96.00</b>  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>		CALCULATIONS   PTO USE ONLY           <div style="text-align: right;"><b>\$890.00</b></div>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		<div style="text-align: right;"><b>\$</b></div>	
Claims	Number Filed	Number Extra	Rate
Total Claims	18 - 20 =	0	X \$ 18.00
Independent claims	02 - 03 =	0	X \$ 84.00
Multiple dependent claims(s) (if applicable)			+ \$280.00
<b>TOTAL OF ABOVE CALCULATION =</b>		<b>\$890.00</b>	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).		<b>\$</b>	
<b>SUBTOTAL =</b>		<b>\$890.00</b>	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		<b>\$</b>	
<b>TOTAL NATIONAL FEE =</b>		<b>\$890.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00 per property</b> +		<b>\$ 40.00</b>	
<b>TOTAL FEES ENCLOSED =</b>		<b>\$930.00</b>	
		Amount to be: refunded	<b>\$</b>
		Charged	<b>\$930.00</b>

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. **23-3425** in the amount of **\$930.00** to cover the above fees  
A triplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **23-3425**. A triplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**  
**BASF CORPORATION**  
**Patent Department**  
**26701 Telegraph Road**  
**Southfield, Michigan 48034-2442**  
**(248) 948-2355**  
**Customer No. 26922**

*Michael Morgan*  
**SIGNATURE**  
  
**Michael F. Morgan**  
**Name**  
**42,906**  
**REGISTRATION NUMBER**

10/088376

JC10 Rec'd PCT/PTO 11 MAR 2002

**PATENT**

(Practitioner's Docket No. IN- 5562)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Ines MANGELS, et al.

Serial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/08503 filed 31 August 2000.

Group Art Unit: Not Assigned

Filed: Monday, March 11, 2002

Examiner: Not Assigned

For: USE OF ASSOCIATIVE THICKENERS BASED ON POLYURETHANE AND/OR  
DIPROPYLENE GLYCOL MONOALKYL ETHERS IN COLOURED AND/OR  
DECORATIVE EFFECT MULTI-LAYERED LACQUERS

Patent\*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner  
for Patents, Washington, D.C. 20231

**37 C.F.R. § 1.8(a)**

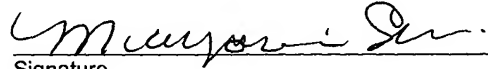
**37 C.F.R. § 1.10\***

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"  
Mailing Label No: E T973 679 288US (mandatory)

**TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

  
Signature

Marjorie Ellis

Date: March 11, 2002

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

#### IDENTIFICATION OF ASSIGNEE

BASF COATINGS AG

2. \_\_\_\_\_  
Name of assignee  
CORPORATION  
\_\_\_\_\_  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

#### PERSON(s) AUTHORIZED TO SIGN

3. Michael F. Morgan, 42,906  
(type name of person authorized to sign on behalf of assignee)  
Attorney  
Title of person authorized to sign  
3a. Mary E. Golota, 36,814  
(type name of person authorized to sign on behalf of assignee)  
Senior Attorney  
Title of person authorized to sign

(complete the following, if applicable)

- ☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

#### BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

- A.
- ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_.
  - ☒ An assignment (document) separately being submitted for recordal herewith.

#### AND/OR

- B.
- ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)  
To: \_\_\_\_\_

Recorded in PTO:  
Reel \_\_\_\_\_ Frame \_\_\_\_\_

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

<input type="checkbox"/> A	<input type="checkbox"/> 1	<input type="checkbox"/> 2	
<input type="checkbox"/> B	<input type="checkbox"/> 1.	<input type="checkbox"/> 2	<input type="checkbox"/> 3.

Reg. No.: 42,906

  
\_\_\_\_\_  
SIGNATURE OF ATTORNEY

Michael F. Morgan  
\_\_\_\_\_  
Type or print name of attorney

Tel. No.: ( 248 ) 948-2355

BASF Corporation  
26701 Telegraph Road  
\_\_\_\_\_  
P.O. Address

Southfield, Michigan 48034-2442  
\_\_\_\_\_

Customer No. 26922

10/088376

JC10 Rec'd PCT/PTO 11 MAR 2002

PATENT

(Practitioner's Docket No. IN- 5562)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ines MANGELS, Karl-Heinz JOSTEN,  
Udo NENNER, Egon WEGNER,  
Ekkehard SAPPER and Nicola ZARSESerial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/08503 filed 31 August 2000.

Group Art Unit: Not Assigned

Filed: Monday, March 11, 2002

Examiner: Not Assigned

For: USE OF ASSOCIATIVE THICKENERS BASED ON POLYURETHANE AND/OR  
DIPROPYLENE GLYCOL MONOALKYL ETHERS IN COLOURED AND/OR DECORATIVE EFFECT  
MULTI-LAYERED LACQUERSCommissioner of Patents  
Washington, D.C. 20231EXPRESS MAIL CERTIFICATE"Express Mail" label number ET973 679 288US Date of Deposit March 11, 2002

I hereby certify that the following attached paper or fee

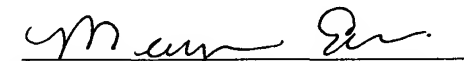
☒ English Application PCT/EP00/08503

Specification on	<input type="text" value="81"/>	pages;	claims on	<input type="text" value="08"/>	pages;
the abstract on	<input type="text" value="01"/>	page(s);	drawings on	<input type="text"/>	page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10  
on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.